

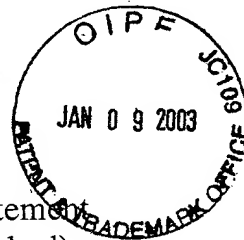
REC'D IN THE U.S. PATENT AND TRADEMARK OFFICE

Applicant(s): Yasmin Thanavala

Serial No: 09/420,695

Filed: October 19, 1999

- (1) Transmittal Form
- (1) Fee Transmittal Form
- (1) Supplemental Information Disclosure Statement
- (1) PTO-1449 Form listing 6 references (attached)
- (1) Postcard for acknowledgment



RPP:156A US

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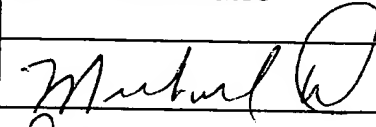
PTO/SB/21 (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	09/420,695	
	Filing Date	10/19/1999	
	First Named Inventor	Yasmin Thanavala	
	Group Art Unit	1651	
	Examiner Name	Michele Flood	
Total Number of Pages in This Submission	254	Attorney Docket Number	RPP:156A US

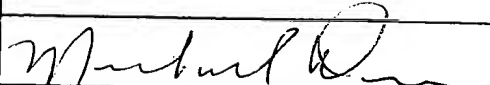
ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below):
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Dunn & Associates
Signature	
Date	Jan 6

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 1/6/03			
Typed or printed name	Michael L. Dunn		
Signature		Date	1/6/03

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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**FEE TRANSMITTAL
for FY 2002**

Patent fees are subject to annual revision.

Complete if Known

Application Number	09/420,695
Filing Date	10/19/1999
First Named Inventor	Yasmin Thanavala
Examiner Name	Michele Flood
Group Art Unit	1651
Attorney Docket No.	RPP:156A US

TOTAL AMOUNT OF PAYMENT (\$)

METHOD OF PAYMENT

- 1.
- ☐
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 04-1790

Deposit Account Name

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17☒ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	
Multiple Dependent	-3** =	X	

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim, if not paid	
109	84	209	42	** Reissue independent claims over original patent	
110	18	210	9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$)

**or number previously paid; if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY

Name (Print/Type) Michael L. Dunn

Registration No. (Attorney/Agent) 25,330

Complete (if applicable)

Telephone 716-423-1661

Signature

Date 1/6/03

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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RPP:156A US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Yasmin Thanavala

Art Unit: 1651

Serial No: 09/420,695

Confirmation No:

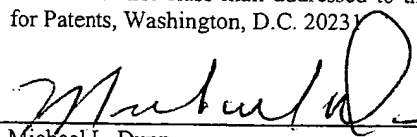
Filed: October 19, 1999

I certify that this **Supplemental Information Disclosure Statement** is being deposited on **January 6, 2003** with the U.S. Postal

Examiner: Michele Flood

Service as first class mail addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

For: **ORAL IMMUNOLOGY USING
PLANT PRODUCT CONTAINING
HEPATITIS SURFACE
ANTIGEN**


Michael L. Dunn

Registration No. 25,330

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The following literature citations are being provided in compliance with Applicant's and his attorneys' duty of candor and good faith under 37 C.F.R. 1.56, 1.97 and 1.98. The citations are recorded on the accompanying Form PTO-1449. A copy of each reference is included herewith.

A communication (European Search Report) from the European Patent Office issued November 20, 2002 and disclosed the attached references which have not been previously cited by Applicants in an Information Disclosure Statement.

I hereby certify that each item of information contained in this Supplemental Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.

Dated: January 6, 2003

MLD/cah
Enclosures
cc: M. DeLellis
P. Debbie

Respectfully submitted,



Michael L. Dunn
Attorney for Applicant(s)
Reg. No. 25,330
P.O. Box 10
Newfane, New York 14108
Telephone: (716) 433-1661

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Substitute for form 1449A/PTO		Complete if Known	
		Application Number	09/420,695
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Filing Date	October 19, 1999
		First Named Inventor	Yasmin Thanavala
		Art Unit	1651
		Examiner Name	Michele Flood
Sheet	1	of	2
		Attorney Docket Number	RPP:156A US

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	DOCUMENT NUMBER	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US-5,182,109		S. Tamura, et al.	Claim 7, Examples 4, 12, 20
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				
		WO 94/20135	09-15-1994	Edible Vaccines, Inc.	Page 14, line 23; Page 17, line 23; Examples 3,4	
		WO 00/37610	06-29-2000	Boyce Thompson Institute for Plant Research at Cornell	The entire document	

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO

(use as many sheets as necessary)

Application Number	09/420,695
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Filing Date	October 19, 1999
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First Named Inventor	Yasmin Thanavala
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Group Art Unit	1651
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Examiner Name	Michele Flood
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Attorney Docket Number	RPP:156A US
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Sheet	2	of	2
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Examiner
Initials*Cite
No. 1

Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the Item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.

 τ^2

AIZPURUA, H.J., et al., "Oral Vaccination: Identification of Classes of Proteins that Provoke an Immune Response upon Oral Feeding", *J. Exp. Med.*, 1988, pp 440-451, Vol. 167.

EHSANI, P., et al., "Polypeptides of Hepatitis B Surface Antigen Produced in Transgenic Potato", *Gene*, 1997, pp 107-111, Vol. 190.

KAPUSTA, J., et al., "A Plant-Derived Edible Vaccine Against Hepatitis B Virus", *Faseb J.*, 1999, pp 1796-1799, Vol. 13, No. 13.

Examiner
Signature

Date	
Considered	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

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